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JUL 13 2004
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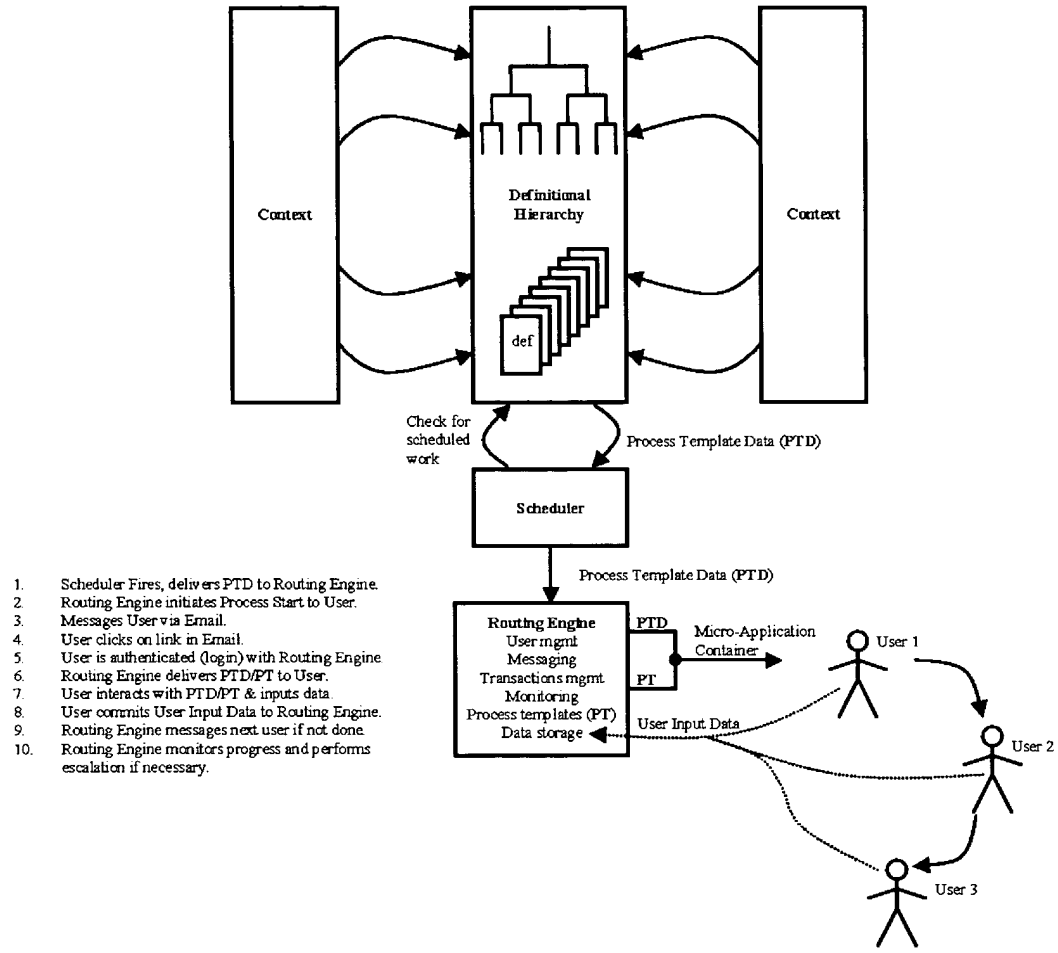
Figure 1. System Architecture and Process Overview



1. Scheduler Fires, delivers PTD to Routing Engine.
2. Routing Engine initiates Process Start to User.
3. Messages User via Email.
4. User clicks on link in Email.
5. User is authenticated (login) with Routing Engine.
6. Routing Engine delivers PTD/PT to User.
7. User interacts with PTD/PT & inputs data.
8. User commits User Input Data to Routing Engine.
9. Routing Engine messages next user if not done.
10. Routing Engine monitors progress and performs escalation if necessary.

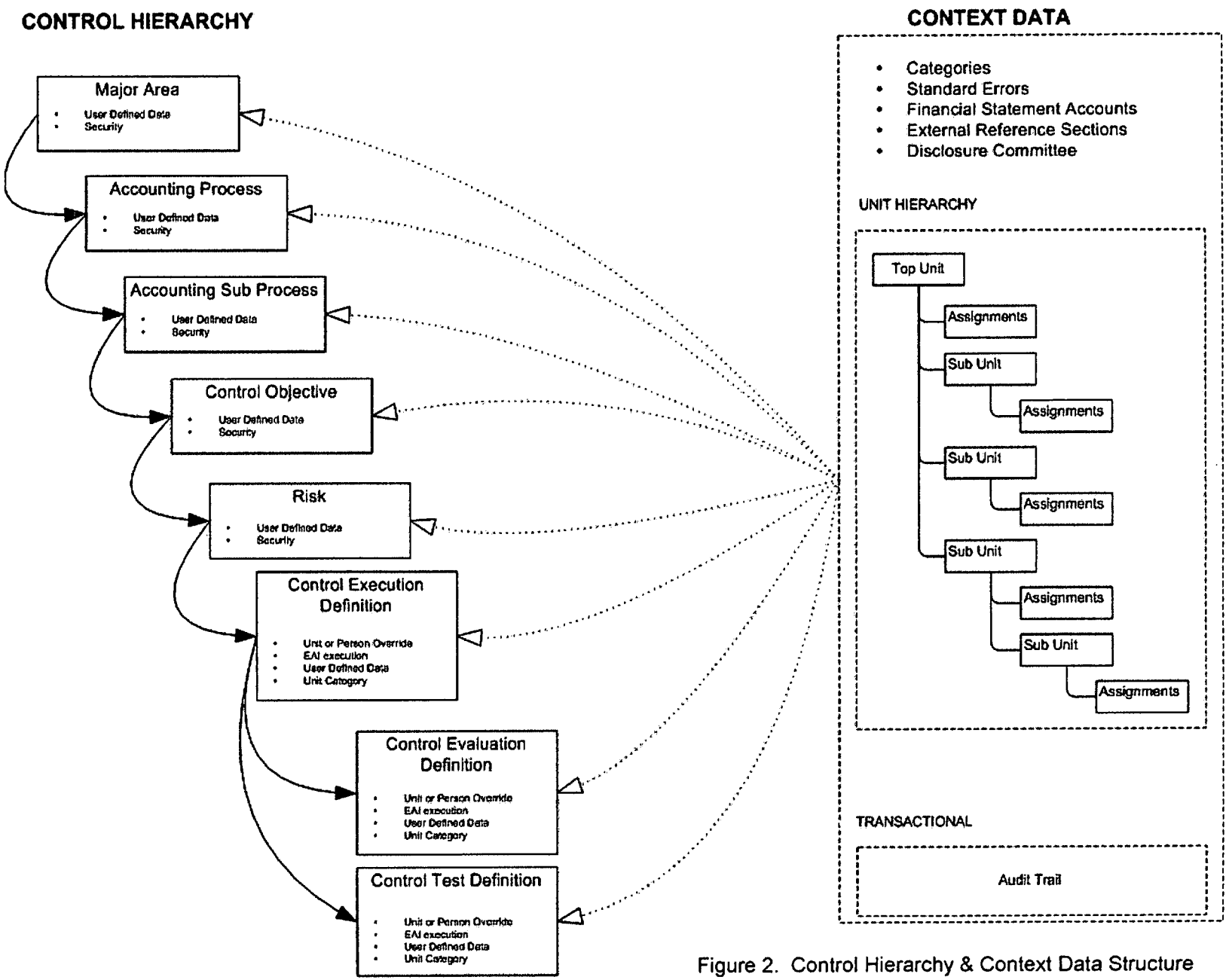


Figure 2. Control Hierarchy & Context Data Structure

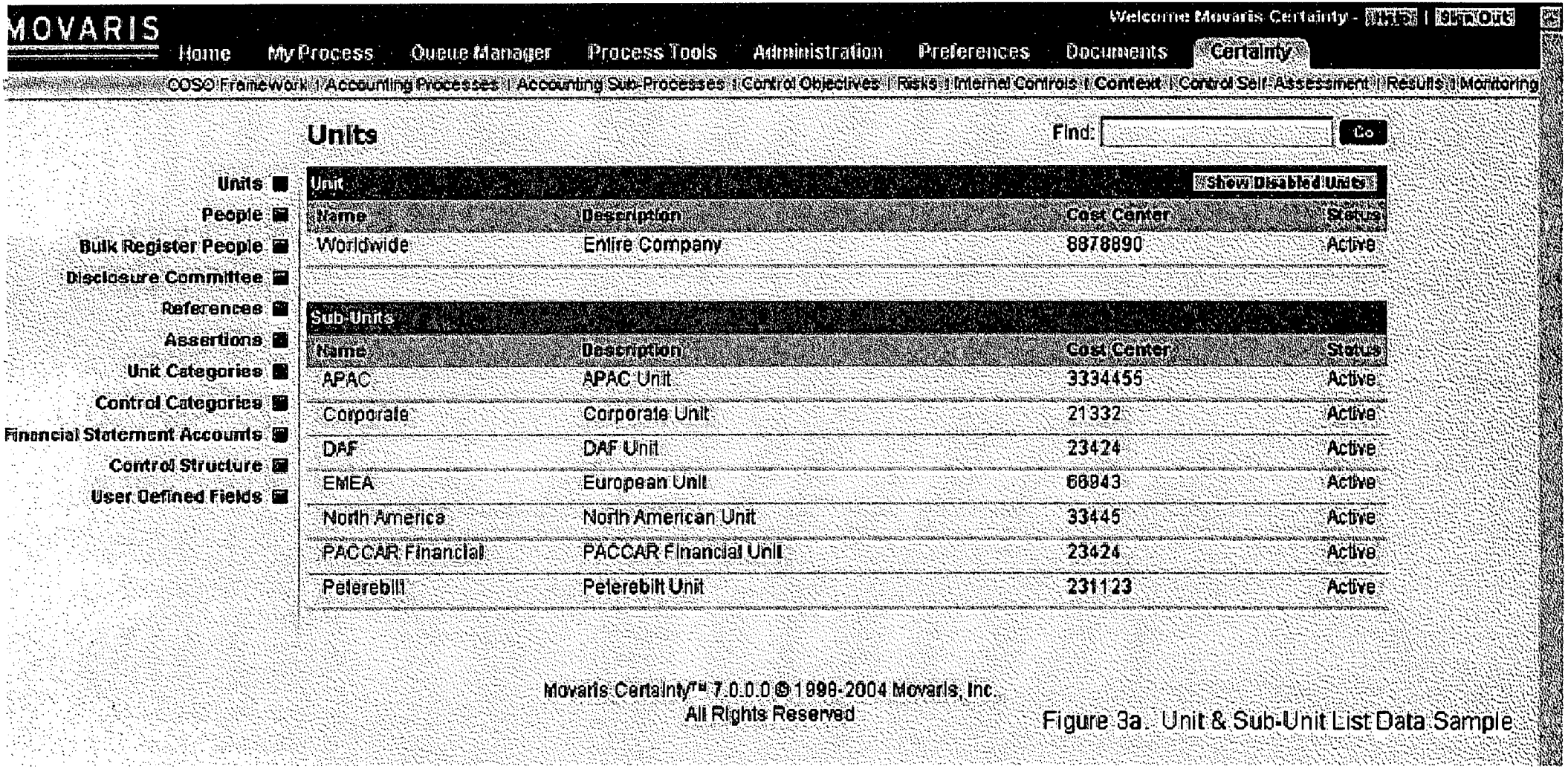


Figure 3a. Unit & Sub-Unit List Data Sample

Worldwide

Sub-Unit

Units
People
Bulk Register People
Disclosure Committee
References
Assertions
Unit Categories
Control Categories
Financial Statement Accounts
Control Structure
User Defined Fields

Sub-Unit — Find | Delete | Save

Name: APAC — Enable

Description: APAC Unit

Cost Center: 3334455

Default Assignments — Select User

Internal Control Process	Performer	Executor
Executor	Jane Smith	Brian Tiede
Execution Reviewer	<unassigned>	<unassigned>

Evaluation Process		
Evaluator	Internal Audit	Brian Tiede
Evaluation Reviewer	<unassigned>	<unassigned>

Test Process		
Tester	Audit Company	Brian Tiede
Test Reviewer	<unassigned>	<unassigned>

Exception Process		
Exception Reviewer	Ben Simons	Brian Tiede
Exception Approver	Stan Szeto	Pia Moore
Exception Manager	Pia Moore	Stan Szeto
Exception Discloser	Pia Moore	Brian Tiede

Remediation Process		
Remediation Reviewer	Tim Ellison	Brian Tiede
Remediation Designer	Stan Szeto	Brian Tiede
Remediation Approver	Pia Moore	Brian Tiede
Remediation Implementer	Stan Szeto	Brian Tiede

Control Self-Assessment Set-up Process		
Set-up Owner	<unassigned>	<unassigned>

Initiate Control Self-Assessment Set-up process: Now

Unit Categories — Edit | Delete

Name	Description
None were found	

Sub-Units — New

Name	Description	Cost Center	Status
None were found			

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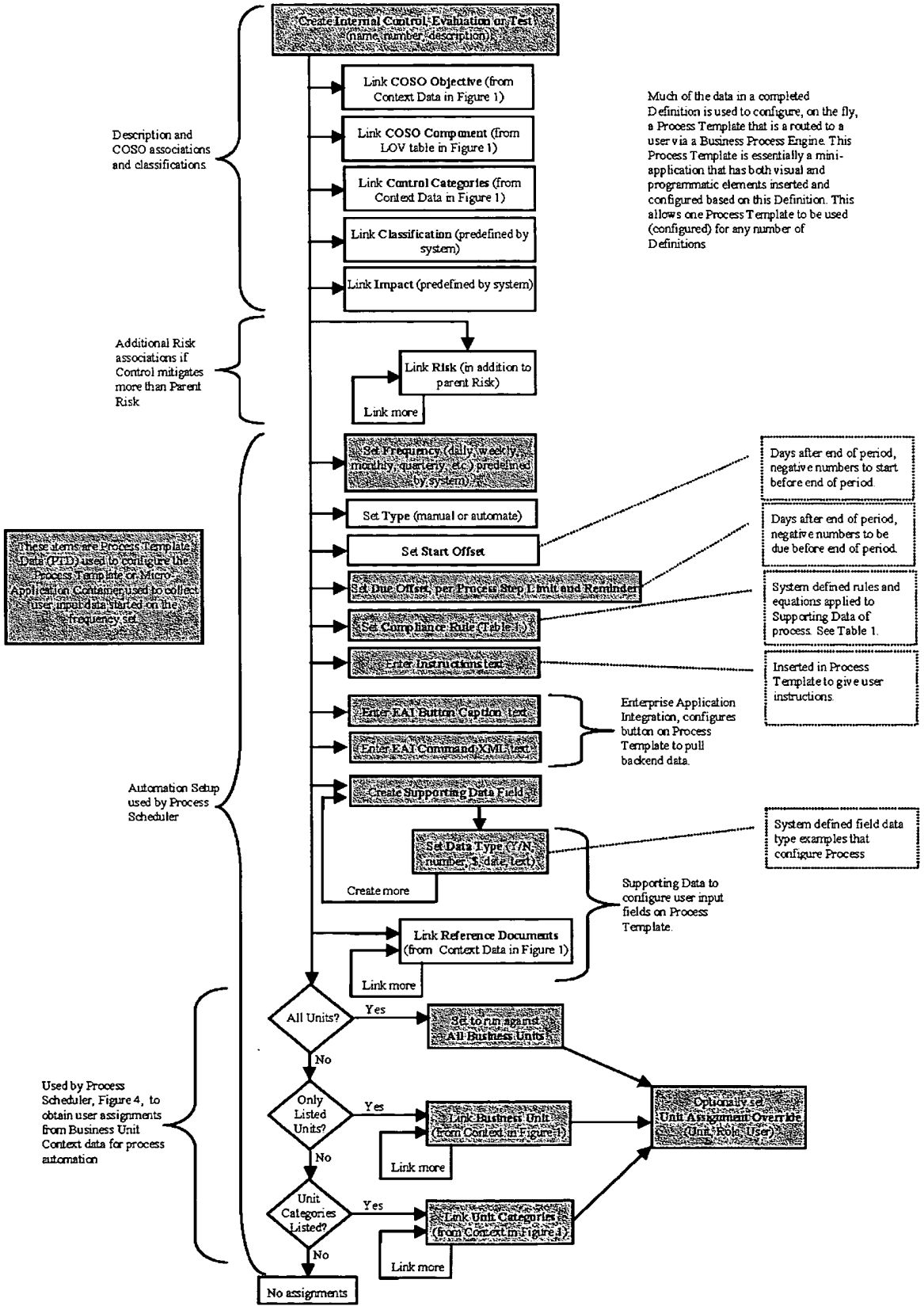
Figure 3b. Sub-Unit Data Detail Sample

Figure 4. Creation of Definitions Flow Chart



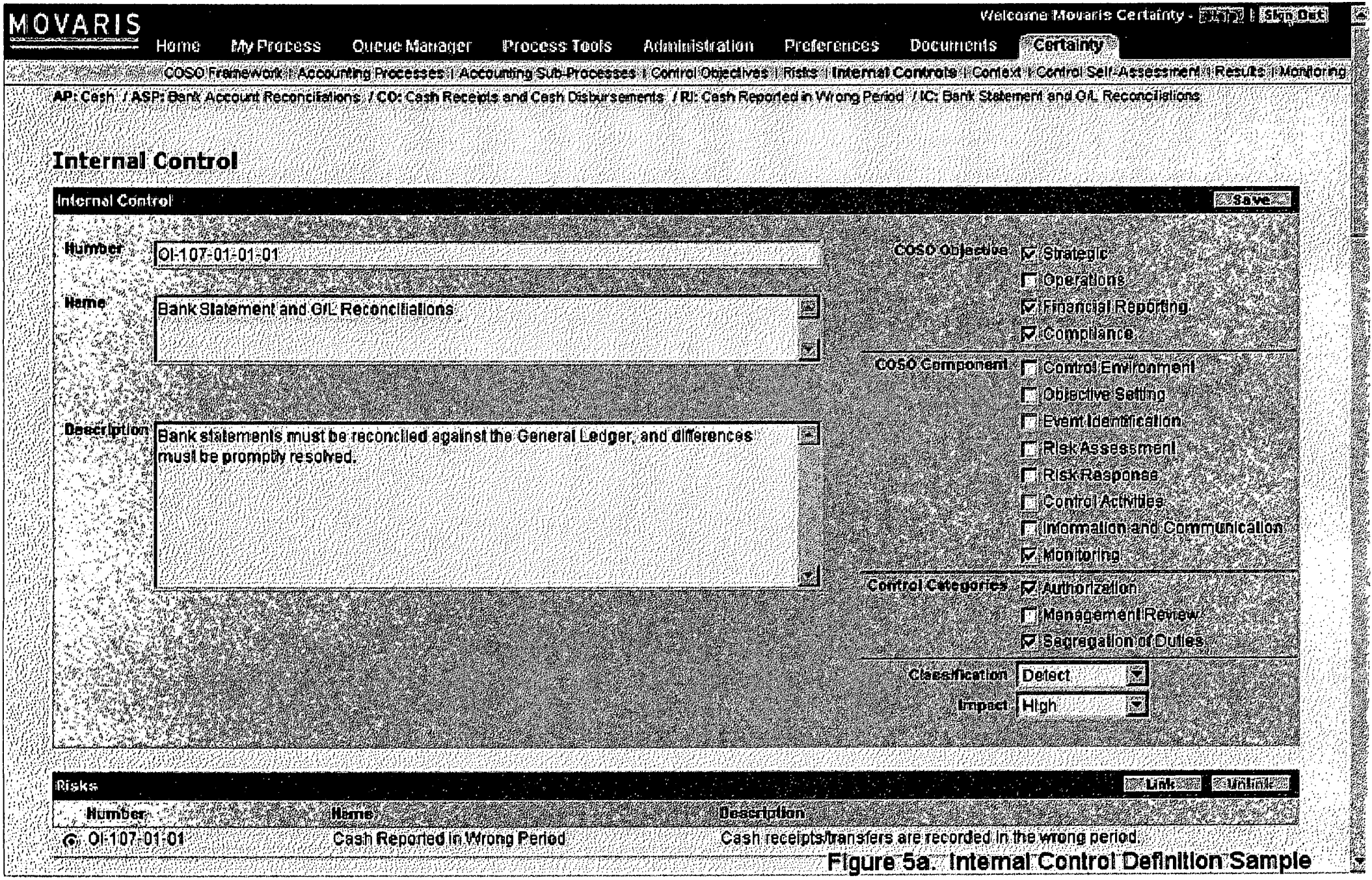


Figure 5a. Internal Control Definition Sample

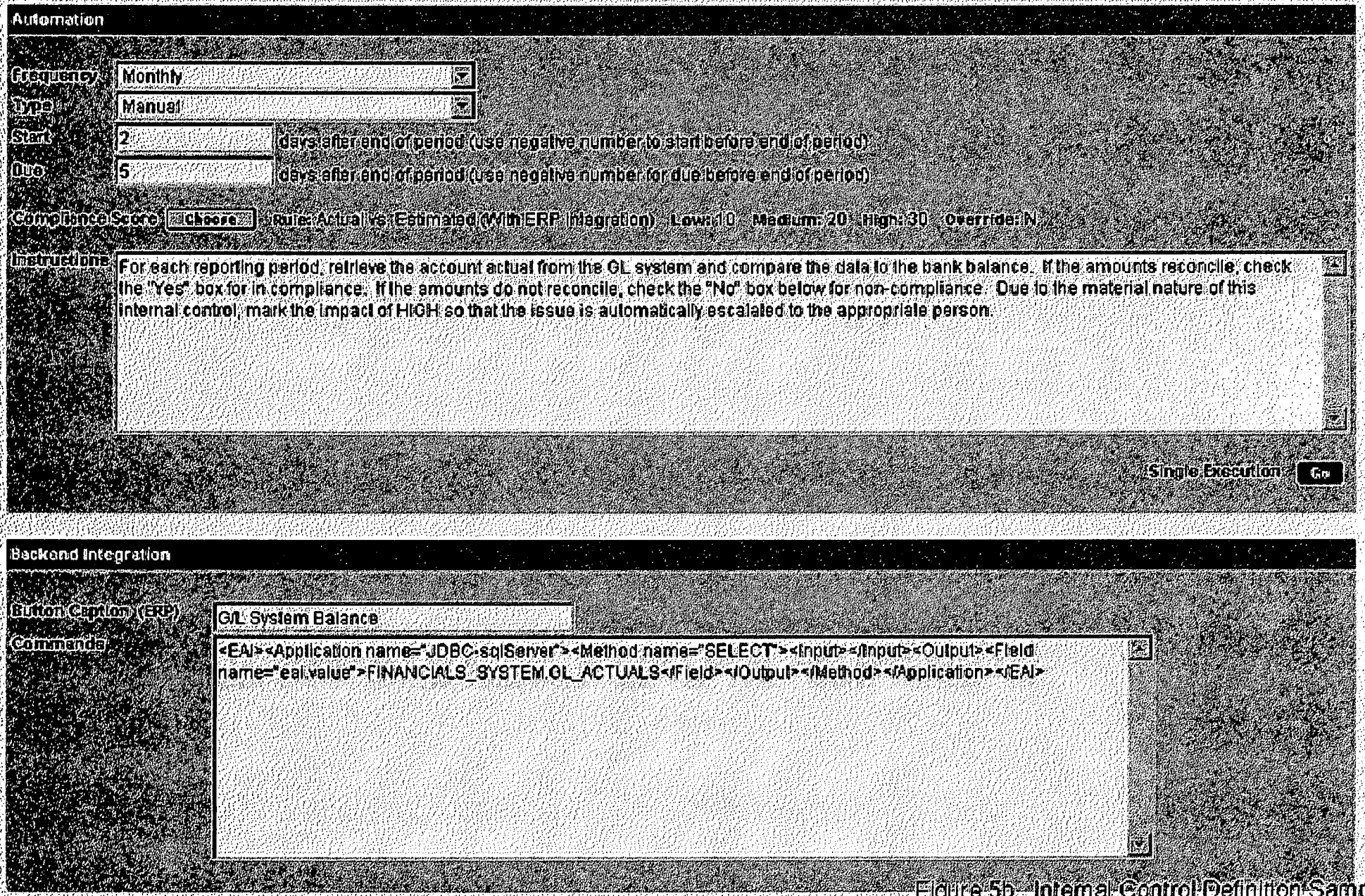


Figure 5b - Internal Control Definition Sample

Supporting Data

	Data Type	Caption
F1	Money	Adjusted Bank Statement Balance
F2	Yes / No	Does the G/L balance equal the adjusted bank balance?
F3	Yes / No	Was a monthly reconciliation performed?
F4	Yes / No	Is the monthly reconciliation attached?
F5	Yes / No	
F6	Yes / No	
F7	Yes / No	
F8	Yes / No	
F9	Yes / No	
F10	Yes / No	

References

Link | Unlink

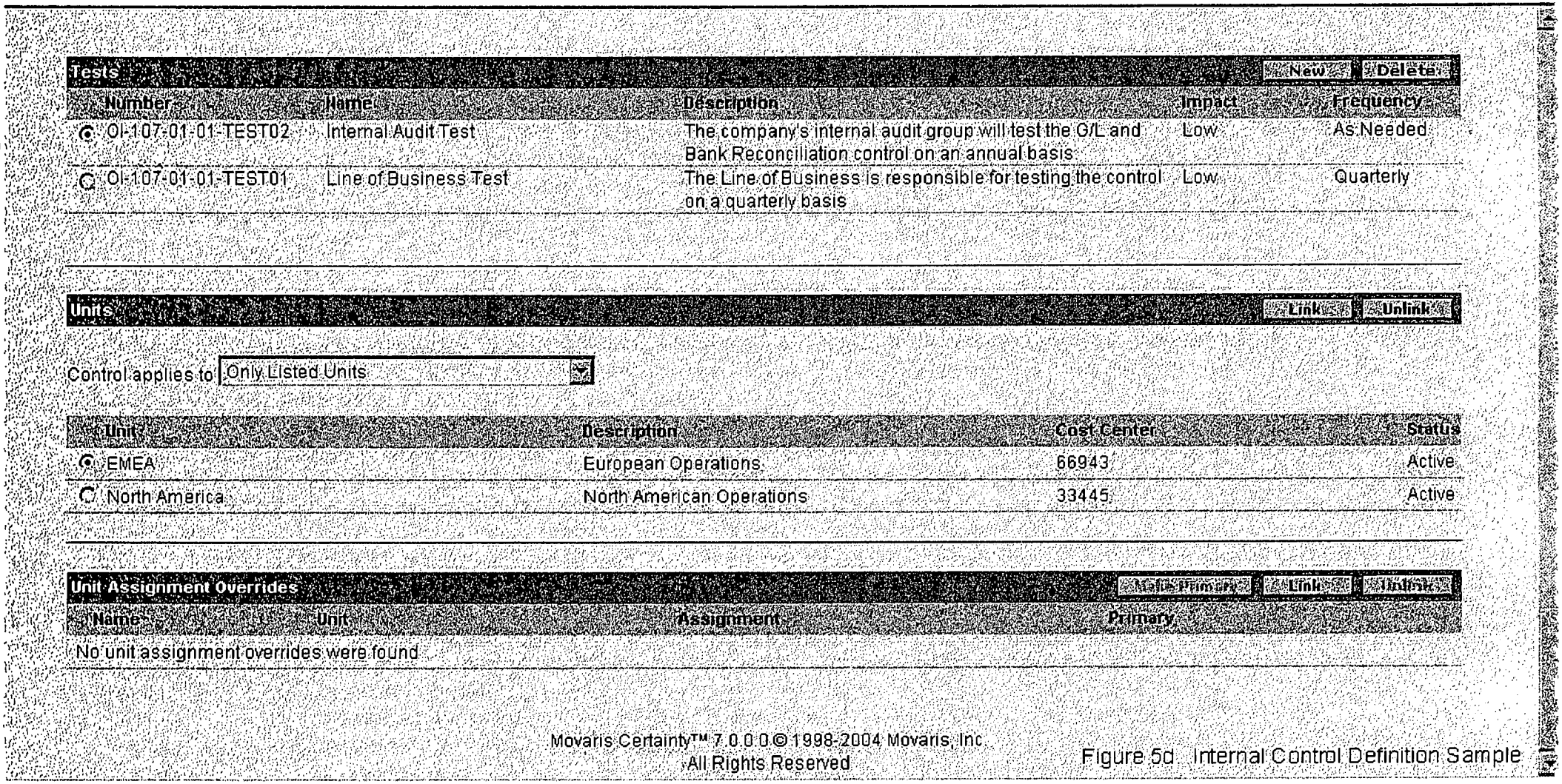
Name	Type	Attachment
Bank Reconciliations	Company policy	View

Evaluations

New | Delete

Number	Name	Description	Impact	Frequency
OI-107-01-01-CSA01	Bank Reconciliation Self-Assessment	The A/P manager in charge of the bank and G/L reconciliation will assess the control on a quarterly basis.	Low	Quarterly
OI-107-01-01-EVAL01	Definitional Evaluation	This evaluation will ensure that the definitional aspects of the control are correct.	Low	Quarterly
OI-107-01-01-EVAL02	Internal Audit Evaluation	The Internal Audit team will evaluate the reconciliation.	Low	As Needed

Figure 5c. Internal Control Definition Sample



Tests — New | Delete

	Number	Name	Description	Impact	Frequency
◉	OI-107-01-01-TEST02	Internal Audit Test	The company's internal audit group will test the G/L and Bank Reconciliation control on an annual basis	Low	As Needed
○	OI-107-01-01-TEST01	Line of Business Test	The Line of Business is responsible for testing the control on a quarterly basis	Low	Quarterly

Units — Link | Unlink

Control applies to: Only Listed Units

	Unit	Description	Cost Center	Status
◉	EMEA	European Operations	66943	Active
○	North America	North American Operations	33445	Active

Unit Assignment Overrides — Make Primary | Link | Unlink

Name	Unit	Assignment	Primary

No unit assignment overrides were found

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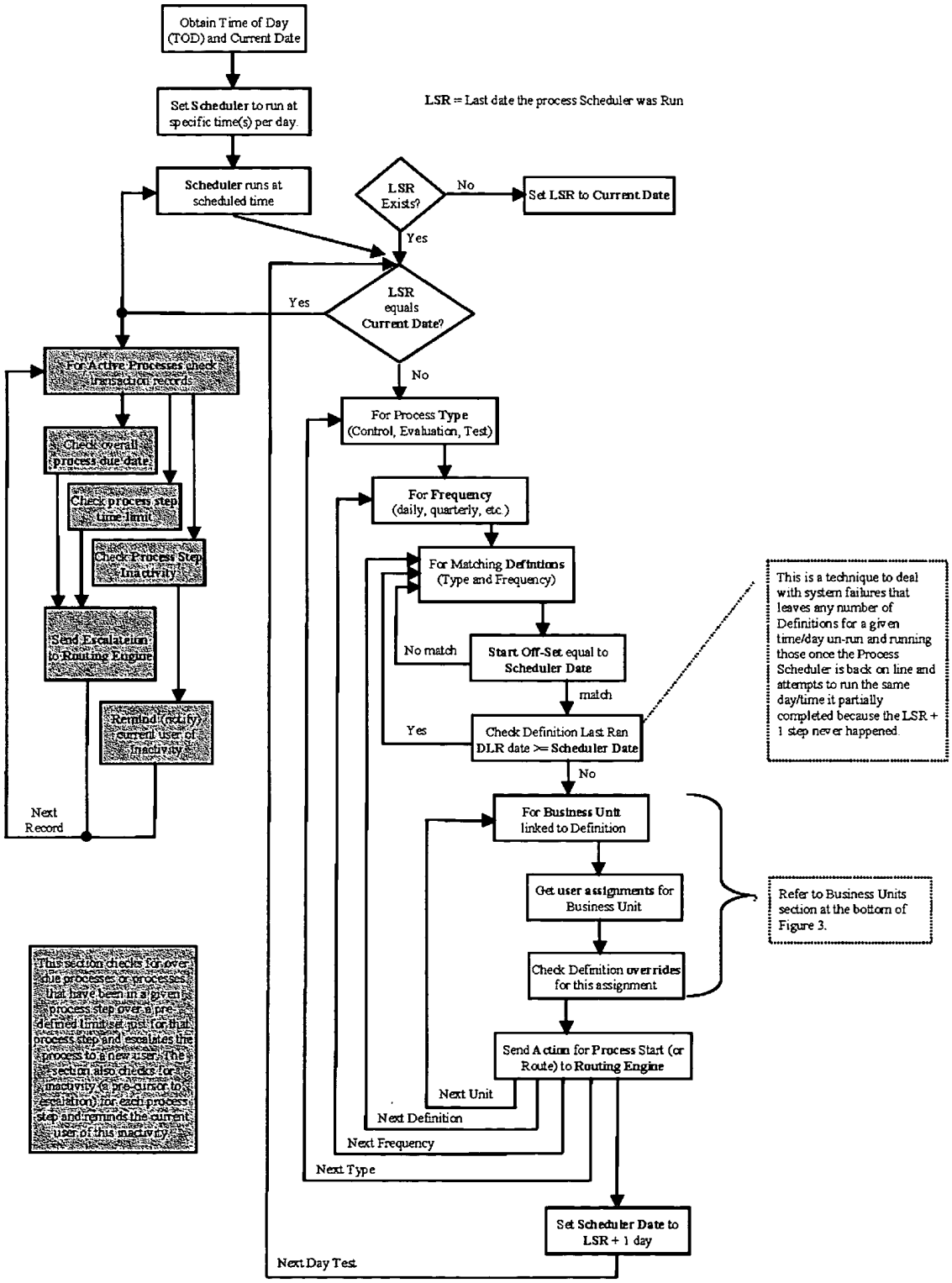
Figure 5d Internal Control Definition Sample

Figure 6. Scheduler Flow Chart



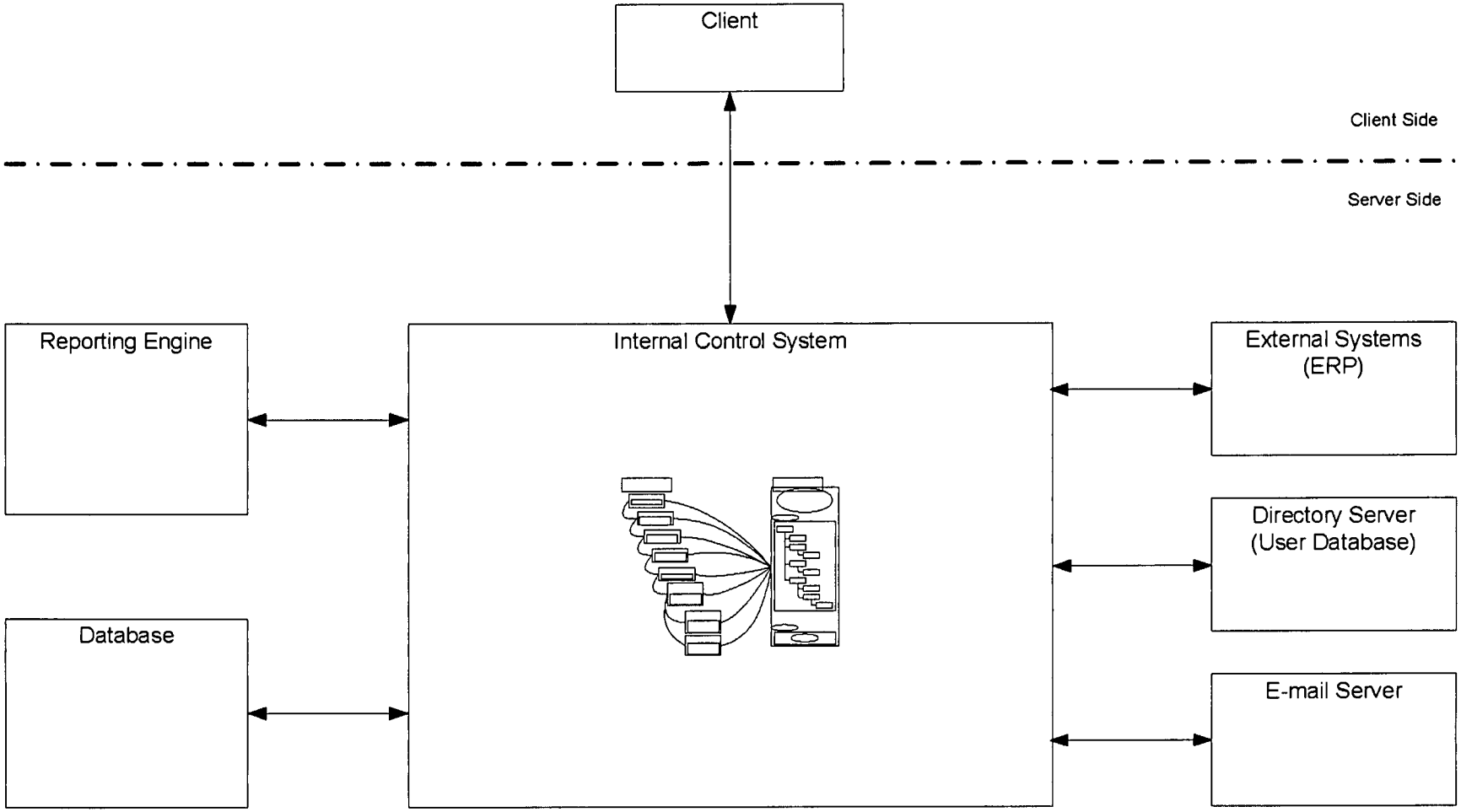


Figure 7. Environmental Infrastructure Architecture

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Initiated By: Movaris Certainty Date Sep 09, 2003

Executed By: Jane Smith Date Sep 09, 2003

Internal Control Execution

Ref #: BANKSTATEMENTAND1565714 3EXEC

You have been assigned the following internal control execution task for the North America unit for the monthly reporting period ending September 30, 2003. This activity is due by October 5, 2003.

Please complete the task identified below, collect the required information and then press the Submit button. Your input will be logged and follow up actions will be automatically initiated as appropriate. After your submission, no further action on your part is required.

Control: Bank Statement and G/L Reconciliation OI-107-01-01-01

Description

Bank statements must be reconciled monthly with the general ledger, and differences must be promptly resolved.

COMPLETED

Instructions

As the Accounts Payable Manager, for each reporting period, retrieve the account actual from the GL system and compare the data to the bank balance. If the amounts reconcile, check the "Yes" box for in compliance. If the amounts do not reconcile, check the "No" box below for non-compliance. Due to the material nature of this internal control, mark the impact of HIGH so that the issue is automatically escalated to the appropriate person.

G/L System Balance Go $1,500,000.00

Adjusted Bank Statement Balance >> $1,500,000.00

Figure 8. Application Container with Sample Data

Figure 9. Routing Engine Flow Chart

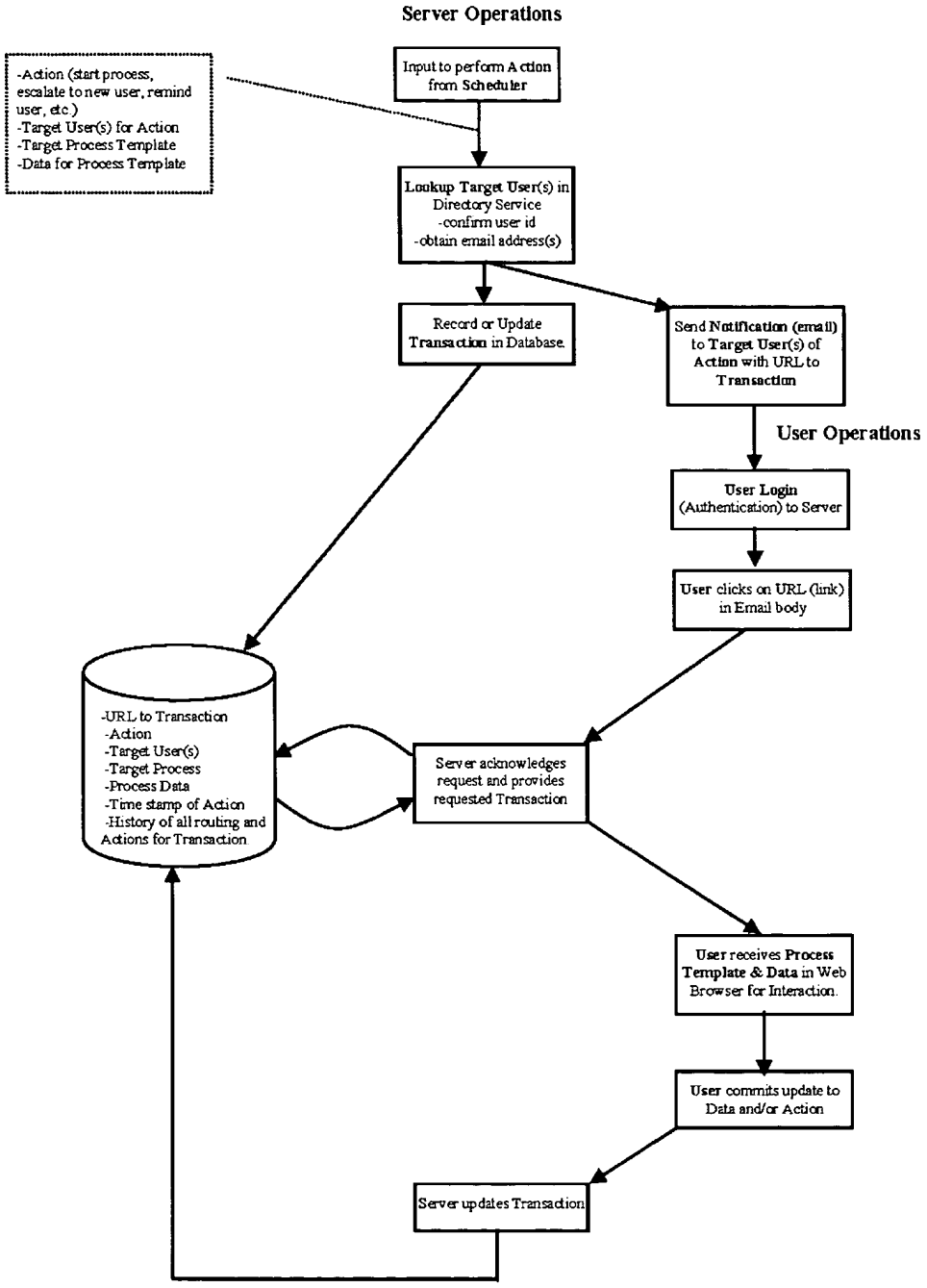

Figure 10. Configuration and Initialization Flowchart

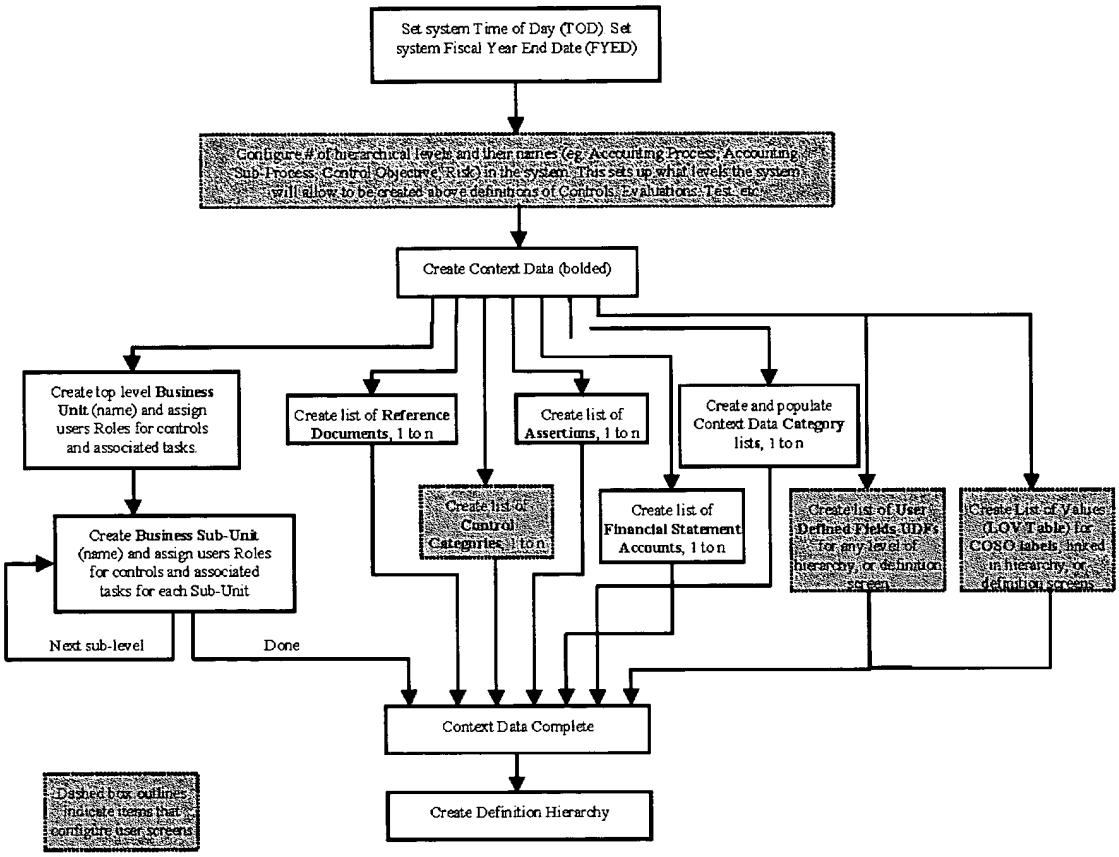

Figure 11. Hierarchy Definition Flow Chart

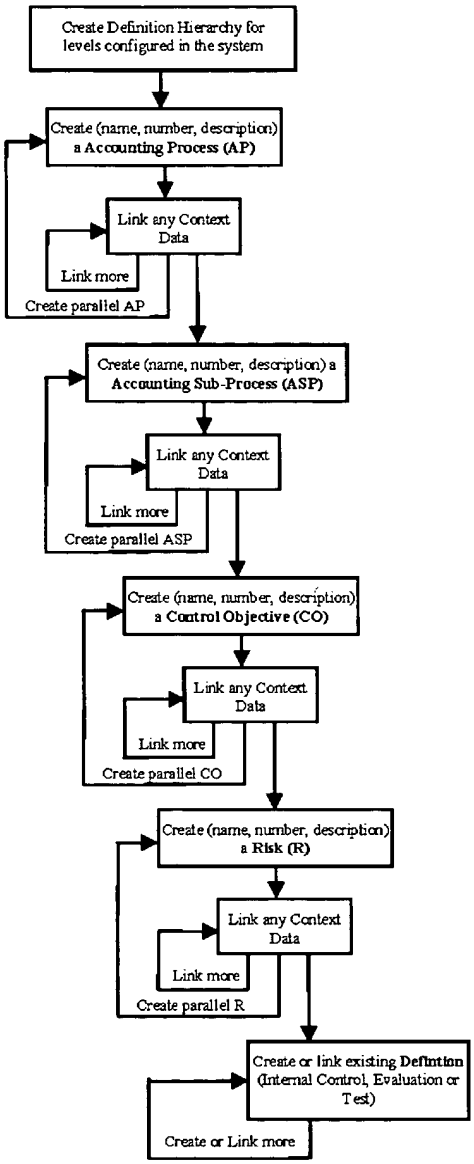
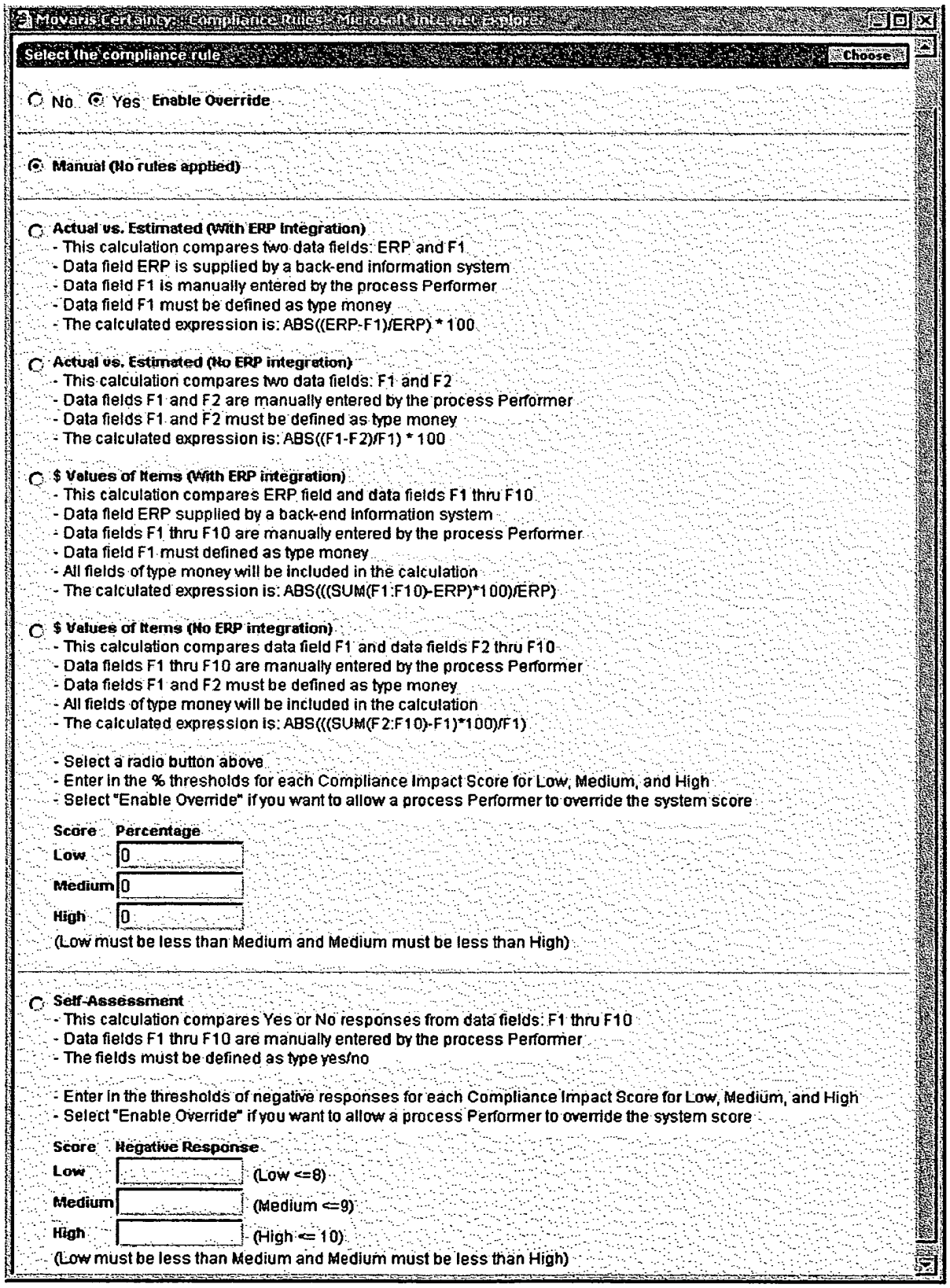
Figure 12. Compliance Rule User Selection Screen (input to Process Template)